

7407

Telephone: (203) 461-7000  
Facsimile: (203) 461-7300

**Walker Digital, LLC****FAX**

**To:** Examiner N.D. Rosen - USPTO **From:** Veronika S. Leliever  
**Fax:** 703.305.7687 **Pages:** 48  
**Phone:** 703.308.2848 **Date:** May 9, 2003  
**Re:** Application Serial No. 09/853,541 **Phone:** 203-461-7035

☒ **Urgent**    ☒ **For Review**    ☐ **Please Comment**    ☐ **Please Reply**    ☐ **Please Recycle**

• **Comments:** **copies of**  
**FORMAL RESPONSE filed March 27, 2003**

**Re: Application Serial No. 09/853,541**  
**Walker Digital, LLC**  
**Attorney Docket No. 98-030-C1**  
**Titled: "METHOD AND APPARATUS FOR PROCESSING CHECKS TO**  
**RESERVE FUNDS"**

As per your telephone discussion with Steven Santisi, responsible attorney for the above-captioned application, please find enclosed copies of documents filed with the USPTO on March 27, 2003. Copy of stamped Return Receipt Postcard indicating date of receipt by USPTO is also attached for your use.

Thank you for your assistance in the matter.

**CERTIFICATE OF TRANSMISSION**

I hereby certify that this correspondence is being transmitted to the United States Patent and Trademark Office (Fax No. 703.305.7687) on May 9, 2003.

Dated: May 9, 2003 By:

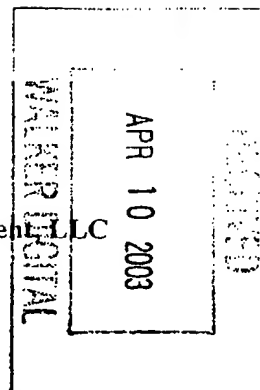
*Veronika S. Leliever*  
Veronika S. Leliever

**OFFICIAL**  
**FAX RECEIVED**  
**MAY 12 2003**  
**GROUP 3600**

This facsimile is confidential and may contain legally privileged information. If you are not the intended recipient, you are hereby notified that any use, disclosure, copying or dissemination of this facsimile is strictly prohibited. If you have received this facsimile in error, please immediately notify us by collect telephone or facsimile and return the original to us by mail. Thank you.



Aimée J. Knoller  
Records Manager  
Walker Digital Management LLC  
Five High Ridge Park  
Stamford, CT 06905



17



Commissioner for Patents:

Date Received:

Applicant: WALKER et al.  
Serial No.: 09/853,541  
Filing Date: May 11, 2001  
Title: METHOD AND APPARATUS FOR PROCESSING CHECKS  
TO RESERVE FUNDS  
(98-030-C1)

Sir:

Please acknowledge receipt of the following papers by stamping the date received on this card and returning the same to the addressee.

- Transmittal Letter, 1 pg.; (x2);
- Combined Amendment & Petition to Extension of Time, 2 pp.; (x2);
- Assertion of Small Entity Status, 1 pg.;
- Affidavit Pursuant to 37 CFR, 2 pp.;
- Terminal Disclaimer, 1 pg.;
- Exhibit - Draft Patent Application, 8 pp.;
- Red-lined Drawing, Fig. 8, 1 pg.;
- Corrected Drawing, Fig. 8, 1 pg.;
- Set of Formal Drawings (13 Sheets, Figs. 1-11C); and
- Amendment & Response to Office Action, 10 pp.



Date mailed: March 27, 2003.

**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**

Docket No.  
98-030-C1

In Re Application Of: JAY S. WALKER et al.

Serial No.  
09/853,541

Filing Date  
May 11, 2001

Examiner  
N. D. Rosen

Group Art Unit  
3625

Invention:

**METHOD AND APPARATUS FOR PROCESSING CHECKS TO RESERVE FUNDS**
TO THE ASSISTANT COMMISSIONER FOR PATENTS:

This is a combined amendment and petition under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the Office Action of September 27, 2002 in the above-identified application.

*Date*

The requested extension is as follows (check time period desired):

☐ One month    ☐ Two months    ☒ Three months    ☐ Four months    ☐ Five months

from: December 27, 2002
*Date*

until:

March 27, 2002
*Date*

A verified statement of small entity status as a small entity under 37 CFR 1.27:

- ☒ is enclosed.
- ☐ has already been filed in this application.

The fee for the amendment and extension of time has been calculated as shown below:

**CLAIMS AS AMENDED**

	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE
TOTAL CLAIMS	25 -	20 =	5	x \$9.00	\$45.00
INDEP. CLAIMS	5 -	3 =	2	x \$42.00	\$84.00
FEE FOR AMENDMENT					\$129.00
FEE FOR EXTENSION OF TIME					\$465.00
<b>TOTAL FEE FOR AMENDMENT AND EXTENSION OF TIME</b>					<b>\$594.00</b>

**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**Docket No.  
**98-030-C1**

The fee for the amendment and extension of time is to be paid as follows:

- ☐ A check in the amount of **\$594.00** for the amendment and extension of time is enclosed.
- ☒ Please charge Deposit Account No. **50-0271** in the amount of **\$594.00**  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. **50-0271**  
A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 C.F.R. 1.16.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. **50-0271** A duplicate copy of this sheet is enclosed.

  
SignatureDated: **March 27, 2003**

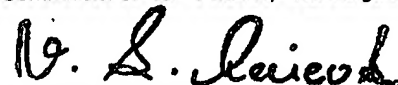
**Steven M. Santisi**  
Attorney for Applicants  
PTO Registration No. 40,157  
203.461.7054/phone  
203.461.7300/fax

Customer No. 22927

Ssantisi@walkerdigital.com

CC:

I certify that this document and fee is being deposited  
**March 27, 2003** with the U.S. Postal Service as  
first class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.



Signature of Person Mailing Correspondence

Veronika S. Leli ver

Typed or Printed Name of Person Mailing Correspondence

**TRANSMITTAL LETTER  
(General - Patent Pending)**Docket No.  
98-030-C1

In Re Application Of: JAY S. WALKER et al.

Serial No.  
09/853,541Filing Date  
May 11, 2001Examiner  
N. D. RosenGroup Art Unit  
3625

Title:

**METHOD AND APPARATUS FOR PROCESSING CHECKS TO RESERVE FUNDS**TO THE ASSISTANT COMMISSIONER FOR PATENTS:

Transmitted herewith is:

**C mbined Amendment & Petition for Extension of Time, 2 pp., (x2); Assertion of Small Entity Status, 1 pg.; Affidavit Pursuant to 37 CFR, 2 pp.; Terminal Disclaimer, 1 pg.; Exhibit - Draft Patent Application, 8 pp.; Red-lined Drawing, Fig. 8, 1 pg.; Corrected Drawing, Fig. 8, 1 pg.; Set of Formal Drawings (13 Sheets, Figs. 1-11C); Amendment & Response to Office Action, 10 pp.; and Return Receipt Postcard.**

in the above identified application.

- ☐ No additional fee is required.
- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. **50-0271** as described below. A duplicate copy of this sheet is enclosed.
- ☒ Charge the amount of **\$649.00**
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.

  
Signature

Steven M. Santisi  
Attorney for Applicants  
PTO Registration No. 40,157  
203.461.7054/phone  
203.461.7300/fax

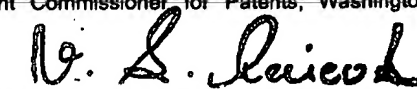
Customer No. 22927

Ssantisi@@walkerdigital.com

CC:

Dated: March 27, 2003

I certify that this document and fee is being deposited  
on March 27, 2003 with the U.S. Postal Service as  
first class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.



Signature of Person Mailing Correspondence

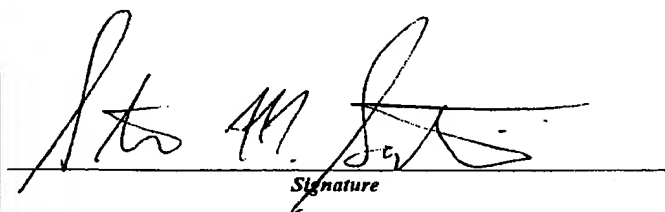
Ver nika S. Leliever

Typed or Printed Name of Person Mailing Correspondence

**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**Docket No.  
98-030-C1

The fee for the amendment and extension of time is to be paid as follows:

- ☐ A check in the amount of \$594.00 for the amendment and extension of time is enclosed.
- ☒ Please charge Deposit Account No. 50-0271 in the amount of \$594.00  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0271  
A duplicate copy of this sheet is enclosed.
- ☒ Any additional filing fees required under 37 C.F.R. 1.16.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 50-0271 A duplicate copy of this sheet is enclosed.

  
Signature

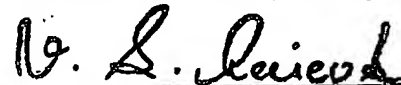
Dated: March 27, 2003

Steven M. Santisi  
Attorney for Applicants  
PTO Registration No. 40,157  
203.461.7054/phone  
203.461.7300/fax

Customer No. 22927

Ssantisi@walkerdigital.com  
CC:

I certify that this document and fee is being deposited  
March 27, 2003 with the U.S. Postal Service as  
first class mail under 37 C.F.R. 1.8 and is addressed to the  
Assistant Commissioner for Patents, Washington, D.C.  
20231.



Signature of Person Mailing Correspondence

Veronika S. Leliever

Typed or Printed Name of Person Mailing Correspondence

PATENT

Application Serial No. 09/853,541  
Attorney Docket No. 98-030-C1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Walker et al.

Application No.: 09/853,541

Filed: May 11, 2001

For: METHOD AND APPARATUS FOR  
PROCESSING CHECKS TO  
RESERVE FUNDS

Customer No. 22927

) Group Art Unit: 3625

) Examiner: N. D. Rosen

) 703.305.0753/phone

) 703.305.7687/fax

) Affidavit Pursuant to  
37 C.F.R. § 1.131) Attorney Docket No. 98-030-C1  
(Please note new docket number)

) Walker Digital, LLC

) (203) 461-7000

) (203) 329-5200 /fax

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as priority mail addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on March 27, 2003.

Dated: 3.27.03 By:

Veronika S. Leliever

Assistant Commissioner for Patents  
Washington, D.C. 20231

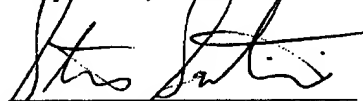
Dear Sir:

Entry of the following Affidavit and Exhibit into the above-identified application is respectfully requested.

March 27, 2003

Date

Respectfully submitted,



Steven Santisi

Attorney for Applicants

Registration No. 40,157

Walker Digital, LLC

Five High Ridge Park

Stamford, CT 06905

(203) 461-7054

(203) 461-7300/fax

PATENT


Application Serial No. 09/853,541  
Attorney Docket No. 98-030-C1**Affidavit Pursuant to 37 C.F.R. 1.131**

STATE OF CONNECTICUT       )  
  ) ss: Stamford  
COUNTY OF FAIRFIELD       )

We, Daniel Tedesco and James Jorasch, being duly sworn, depose and say:

1. That we are the two Inventors of the invention described and claimed in United States Patent Application No. 09/853,541, filed May 1, 2001 entitled "METHOD AND APPARATUS FOR PROCESSING CHECKS TO RESERVE FUNDS"
2. That we conceived of the invention claimed in the above-identified patent application in the United States prior to June 10, 1998, the effective date of Patent No. 6,036,344 filed by Goldenberg and entitled "SECURE CHECK PROCESSING SYSTEM AND METHOD".
3. That with all due diligence, we worked together, with patent counsel, and with others to draft and file parent U.S. Patent No. 6,282,523 B1 on June 29, 1998, which was continued as U.S. Patent Application No. 09/853,541. We did so consistently and without delay from the time of conception until the filing date of the parent patent.
4. That the attached Exhibit is a copy of a Draft Patent Application that was written prior to the effective date of Patent No. 6,036,344. The above-identified patent application is based upon the information provided in the attached Exhibit.
5. That the documents in the Exhibit are provided for use only by the U.S. Patent and Trademark Office for purposes of responding to the Office Action, Paper No. 10, dated September 27, 2002, from the U.S. Patent and Trademark Office with regard to the above-identified patent application.
6. And that we are not waiving any attorney-client or other privilege associated with, or created as a result of the Exhibit, the above-identified patent application, any patent or patent application from which the above-identified patent application claims priority, or any other communication.

  
Daniel Tedesco

  
James Jorasch

Subscribed and sworn to before me this 26th day of March, 2003.

  
Notary Public

**V. S. LELIEVER**  
**NOTARY PUBLIC**  
Date my Commission Expires: MY COMMISSION EXPIRES AUG. 31, 2007



PATENT

Application No. 09/853,541  
Attorney Docket No.: 98-030-C1

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: WALKER et al.

Serial No.: 09/853,541

Filing Date: May 11, 2001

For: METHOD AND APPARATUS FOR  
PROCESSING CHECKS TO  
RESERVE FUNDS) Examiner: N. D. Rosen  
)  
) Group Art Unit: 3625  
)  
) Attorney Docket No: 98-030-C1  
)  
) Customer No.: 22927  
)  
) Notification of Fee Status Change  
)  
) Pursuant to 37 CFR § 1.27  
)Assistant Commissioner for Patents  
Washington, D.C. 20231

## ASSERTION OF SMALL ENTITY STATUS

Dear Sir:

The assignee of the above-identified application claims small entity status. This notification is made pursuant to 37 CFR §1.27.

If the Examiner has any questions about this status change, the Examiner is invited to contact the undersigned at (203) 461-7054. While no fees are believed due in connection with this paper, please charge any fees that may be required for this paper, or with any other papers filed in connection with this application to Deposit Account No. 50-0271.

March 27, 2003  
Date

Respectfully submitted,

Steven M. Santisi  
Attorney for Applicants  
Walker Digital, LLC  
Registration No. 40,157  
(203) 461-7054 /direct  
(203) 461-7300 /fax  
[santisi@walkerdigital.com](mailto:santisi@walkerdigital.com)